

Fact Brief Succession Planning in the Government Sector

Key Questions

Who is responsible for succession planning at government organizations?

How are potential future leaders identified, selected, and developed?

How are succession planning initiatives evaluated and improved?

Profiled Institution	Industry	Employees	Budget
Agency B	Government Sector (U.S.)	10,000 – 50,000	More than \$5 billion
Internal Revenue Service		Approximately 100,000	More than \$5 billion
Social Security Administration		Approximately 65,000	More than \$5 billion
Western Area Power Administration		Approximately 1,300	More than \$500 million

Issue Overview: A Critical Need for Effective Succession Planning in the Government

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The need for succession planning at government organizations is increasing...

All organizations are facing the approaching “baby-boomer” retirement wave and the government sector is projected to be affected severely. The Social Security Administration, for example, is one of many agencies faced with the prospect of losing more than half of its employees by the end of 2010, including a large number of the organization’s leaders. This ensuing retirement wave and the goal of achieving greater organizational efficiency, as outlined in *The President’s Management Agenda*, makes succession planning a top priority for government organizations.^{1,2,3}

Recognizing and overcoming barriers to success...

Many government organizations are unsure about how to approach the succession planning process. Government agencies’ leaders often face unique challenges which need to be recognized and addressed in tailoring succession planning blueprints to each organization. Such challenges include discontinuous senior executive leadership guided by political appointments and challenges in implementing an effective successor selection process that abides by the merit system principles. Government organizations can learn from their peers in both the private and public sectors, shaping and applying best-practices to fit their particular organizational environment.^{4,5,6}

Using succession planning to transform government ...

Leading organizations across all sectors approach succession planning as an integrated process. They go beyond focusing on replacing individuals and engage in strengthening and developing leadership talent at all levels of the organization. When approached strategically, succession planning becomes a powerful agent for positive organizational transformation.⁷

The following report discusses succession planning structures and strategies used by government-sector organizations.

EXECUTIVE SUMMARY

This report discusses the bodies and structures responsible for succession planning at profiled organizations and how these ensure leaders' involvement in and support of succession planning. Leadership talent identification and selection, leadership development programs, and methods for measuring and improving succession planning process effectiveness are also discussed, as summarized below.

I. Succession Planning Structure

Succession Planning Structure & Responsibilities

Succession planning is a component of larger strategic human capital management initiatives. Therefore, profiled organizations task different groups within HR with succession planning responsibilities such as the following:

- HR department as a whole
- Specific HR functions, such as leadership development
- One central succession planning team within HR
- HR staff on corporate HCM Project Team

Ensuring Leaders' Involvement

Ensuring leaders' involvement and support is vital to succession planning program success. Profiled organizations use the following tactics to ensure their leaders' involvement in succession planning:

- Indirect or direct succession planning accountability via performance appraisal
- Succession planning training for organization's leaders

II. Leadership Talent Identification

Identifying Candidates' Interest in Participation

Identifying employees' interest in participating in succession planning-focused development programs is the first step in candidate identification, gleaned via the following strategies:

- Mandatory performance review component, stating or denying interest in positions of greater leadership
- Voluntary application process

Succession Planning Participant Selection

Succession planning program participants are assessed and selected by such methods as the following:

- Open enrollment
- Supervisors' selections
- Leadership development professionals' selections
- Cross-departmental group of selectors

III. Leadership Development

Leadership Development Programs Overview

After interested and qualified succession planning candidates are selected, they are enrolled in development programs appropriate to their job level. Leadership programs developed by profiled companies target wide array of employee populations, including the following:

- Non-supervisory employees
- Middle management
- Senior managers and executives

ELP, ALD, and SESCDP Profiled

Profiled development programs for non-supervisory-, management-, and executive-level employees respectively include the following:

- Emerging Leaders Program at WAPA (Middle managers)
- Advanced Leadership Development Program at Agency B (Experienced managers)
- SES Candidate Development Program at SSA (Senior managers and executive candidates)

IV. Succession Planning Results

Tracking Program Results

Continuous evaluation and improvement is vital to succession planning effectiveness. Profiled organizations commonly track the quantitative and qualitative succession planning program measures including:

- Program participation rate
- Participants', mentors' and supervisors' feedback
- Participants' post-program progress
- Post-program participant promotion rate

Improving Program Results

Factors critical to succession planning program effectiveness, as indicated by interviewed individuals, include the following:

- Organization's leaders' support
- Transparent, merit-based, consistent selection process
- Alignment of critical-skills and workforce analysis with changing organizational needs

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Succession Planning Structures and Responsibilities

Succession planning processes are normally spearheaded by HR. However, succession planning structures and responsibilities differ, including placing these responsibilities on the HR department as a whole, on particular HR functions, or on a specialized succession planning team within HR or HCM team, as described in the following sections.

GENERAL HR RESPONSIBILITY

Succession planning responsibilities are diffused throughout the HR function at Agency B, which assigns succession planning tasks to HR staff as collateral duty. This diffused responsibility structure holds HR as a whole accountable for succession planning.

Agency B's succession planning efforts and structures are currently under review as part of the agency's succession planning audit. The findings from this succession planning audit will be presented to a cross-departmental Human Capital Council, composed of the following individuals:

Figure 1: Succession Planning Audit Body

HR Involvement	Cross-Functional Involvement
<ul style="list-style-type: none"> Chief People Officer Director of HR Head of Human Capital of a large business unit within Agency B 	<ul style="list-style-type: none"> Chief Financial Officer Deputy Commissioner Second Senior-Most Information Technology Officer Several Program Managers from various business units

Following the succession planning practices audit presentation, the Human Capital Council may revamp the succession planning structure at Agency B.

SPECIFIC HR FUNCTIONAL RESPONSIBILITY

Like Agency B, the Internal Revenue Service (IRS) does not have a team tasked exclusively with succession planning. However, the IRS holds specific HR functions responsible for succession planning processes, differentiating between succession planning for executive positions and succession planning for front-line and other middle managers, as shown below:

Table 1: Dual SP Structures				
	Executive-Level Succession Planning		Non-Executive Succession Planning	
Functions Involved	Executive Services	Leadership Development	Workforce Planning	Leadership Development
Succession Planning Responsibilities	<ul style="list-style-type: none"> Develops and analyzes metrics Compiles workforce planning reports Oversees placement 	<ul style="list-style-type: none"> Develops and administers training curriculum for SP candidates 	<ul style="list-style-type: none"> Calculates position variances Anticipates employee movement Projects vacancies 	<ul style="list-style-type: none"> Provides training curriculum Partners with business division leaders to select and develop SP candidates

The Leadership Development function plays a key role in succession planning processes for both executive and non-executive positions. While other HR functions and business division leaders are also involved in succession planning, Leadership Development is responsible for the succession planning system as a whole at the IRS.



Collaboration between HR and Organizational Unit Leaders

Both Agency B and the IRS rely on partnerships between HR and business unit leaders to enhance and carry out the SP process.

"Effective succession planning and management programs have the support and commitment of their organizations' top leadership."

—General Accounting Office
Insights for U.S. Agencies from Other Countries' Succession Planning and Management Initiatives
(September 2003)



A Closer Look:

Separate Processes for Executive- and Non-Executive Succession Planning

The IRS has separate non-executive and executive succession management processes in place.

- **Non-Executive**—The Leadership Development function within HR leads succession planning for non-executive positions.
- **Executive**—The Executive Services function leads succession planning for executive positions.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Succession Planning Structure and Responsibilities (continued)

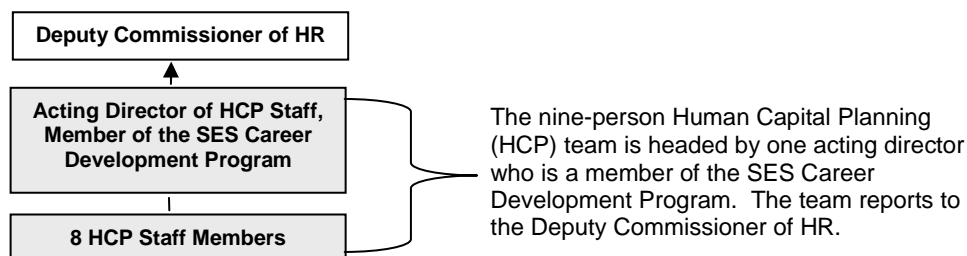
CENTRALIZED SUCCESSION PLANNING TEAM RESPONSIBILITY

The Social Security Administration (SSA) clearly assigns succession planning responsibilities to a single team within HR. The Western Area Power Administration (WAPA), which markets and delivers hydroelectric power and related services in central and western United States, assigns succession planning responsibilities to a single team within a WAPA-wide Human Capital Management Project Team.

Nine-Person Succession Planning Team

The Human Capital Planning (HCP) team, as depicted below, defines the strategic succession planning vision for the entire SSA.

Figure 2: SSA's Human Capital Planning Team

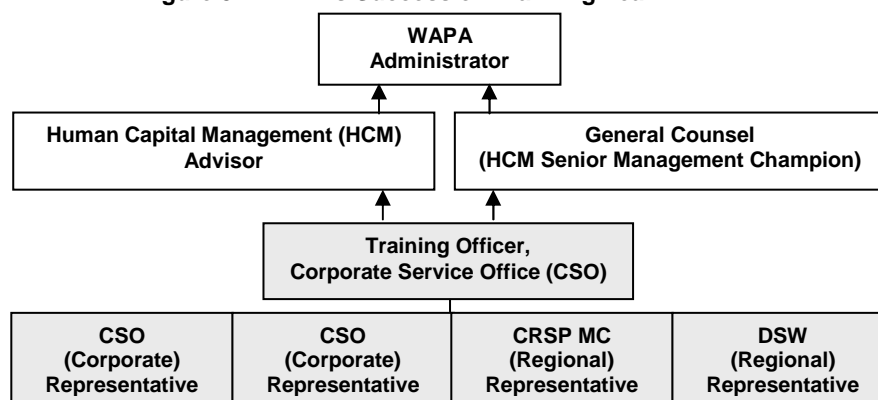


More granular, lower level day-to-day succession planning tasks are part of workforce planning activities undertaken at the component levels of the organization.

Five-Person Succession Planning Team

The succession planning team at WAPA is composed of HR personnel and Administrative Officers from WAPA's Corporate Service Office (CSO) and two of its regional components — the Colorado River Storage Project's Management Center (CRSP MC) and the Desert Southwest Region (DSW), as shown below.

Figure 3: WAPA's Succession Planning Team



The succession planning team is one of seven that comprise WAPA's Human Capital Management organization, which also includes Workforce Planning, Compensation, Employee Feedback, Recruitment Council, Training, and Communications. The succession planning team reports to the HCM Advisor and the General Counsel, a senior executive designated to champion/advise the team and to liaison with WAPA's Administrator and other senior managers.



A Closer Look: Several Succession Planning Teams

Like WAPA and SSA, Agency A has a succession planning team. This team, chaired by the Head of Strategic HR Organization, is responsible for high-level strategic succession planning tasks.

- **Strategic Succession Planning**—Central succession planning team develops succession planning policies and strategy.
- **Day-to-Day Succession Planning**—Several other groups at the lower level of the organization are tasked with the practical, day-to-day succession planning implementation.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Ensuring Leaders' Involvement

A 2003 Council survey indicates that organizations excelling at attracting, retaining, and developing high-quality leaders are distinguished by their senior executives' commitment to talent development. A 2003 General Accounting Office (GAO) study confirms these findings and highlights the need for agency leaders to actively participate in, regularly use, and provide the needed financial and staff resources for key succession planning and succession management initiatives.^{8,9}

Interviewed individuals all agree that organizational leaders' involvement in succession planning is key. They also recognize that outside of a leader's personal commitment to succession planning, few direct accountability methods are available to ensure leaders' succession planning involvement.

DIRECT SUCCESSION PLANNING ACCOUNTABILITY

The SSA and WAPA ensure leaders' involvement in succession planning via performance management mechanisms. Both organizations directly evaluate their leaders on their involvement with succession planning initiatives.

Explicitly Evaluating Succession Planning Involvement

SSA implemented a new five-tier performance appraisal system for Senior Executive Service (SES) employees in 2003. The new performance standards are based on the following "Four S's", the pillars of SSA's strategic plan:

Stewardship	Service	Solvency	Staff
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Executives' involvement in succession planning falls under "Staff" responsibilities and is directly evaluated under the new SES performance appraisal system. At the end of 2003, all of the SSA's SES employees transitioned to the new performance appraisal system, further motivating them to become involved with succession planning.

Cascading Succession Planning Responsibilities through Management Ranks

WAPA's Administrator holds all executives accountable for SP by including progress in the area of succession planning in the executives' performance criteria. Accountability for succession planning processes is then cascaded down to all managers and supervisors throughout WAPA to ensure all of the organization's leaders are involved.

INDIRECT SUCCESSION PLANNING ACCOUNTABILITY

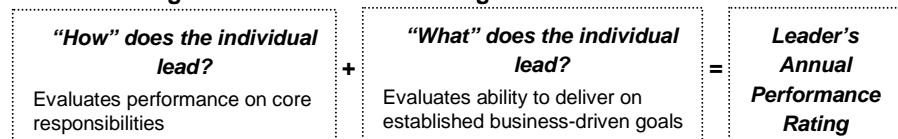
The IRS and one Canadian government organization also use performance management to ensure their leaders' involvement in succession planning. However, unlike the SSA and WAPA, they hold leaders indirectly accountable for succession planning.

Both the IRS and a Canadian government organization identify succession planning as one of their human capital management strategic goals. They also evaluate organizations' leaders on their success in fulfilling identified goals. Thus, by holding leaders accountable for fulfilling strategic goals these organizations hold leaders indirectly accountable for succession planning.

Aligning Succession Planning with Core Competencies

The IRS uses a performance management system, based on a customized leadership competency model that outlines core responsibilities of each manager. The system functions as follows:

Figure 4: Performance Management Model for Leaders



Aligning Succession Planning and Organizational Priorities

All interviewed agencies identify succession planning as an organizational priority and evaluate their leaders on working to fulfill organizational priorities.

"Implementing succession planning systems must be integrated and directly linked, defined, and developed in tandem with organizational mission, purpose, goals, objectives, and expected outcomes"

—National Academy of Public Administration
Strengthening Senior Leadership in the U.S. Government
(December 2002)

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Ensuring Leaders' Involvement (continued)

Aligning Succession Planning with Core Competencies (continued)

The IRS uses twenty-one leadership competencies to derive a leader's annual performance rating. "Developing others" is a key leadership competency imbedded in the IRS' performance management system for leaders. Since people development is an integral part of succession planning, there is an indirect link between leaders' performance and his or her involvement in succession planning.

Linking Competencies to Variable Pay

One Canadian government agency holds employees in leadership positions accountable for seven core competencies and eight role-specific competencies, some of which are listed below.

Figure 5: Leadership Competencies

Core Competencies	Role-Specific Competencies
<ul style="list-style-type: none"> Client Focus Organizational Awareness Results Orientation 	<ul style="list-style-type: none"> Developing Others Resource Management Strategic Thinking

Because this government agency views succession planning as a comprehensive process and a priority within the Canadian government, competencies for evaluating leaders establish a line of sight to succession planning and other organizational priorities. This agency has a variable pay system in place for executive positions to reward leaders for excelling at stated competencies. By evaluating leaders on competencies related to succession planning and linking their success to compensation, this government agency encourages leaders' involvement in succession planning.

SUCCESSION PLANNING TRAINING

Human Capital Management Training for WAPA's Leaders

SP awareness training for managers is designed to enable WAPA's leaders to address the following questions at the course's conclusion:

- How are you planning for this transition?
- What programs exist at WAPA to help fill the talent need? What tools do you have at your disposal?
- How do you recruit and retain critical talent?
- What HCM professionals can I contact for help?
- What are the specific changes in the electric utilities industry and how do they affect WAPA?

In addition to holding leaders responsible for succession planning, training them on the importance of succession planning is an essential strategy for ensuring leaders' support. WAPA's succession planning team worked in cooperation with the Training team to educate the organization's leadership on WAPA's current Human Capital Management (HCM) strategic initiatives, including succession planning. As a result, they developed the following HCM awareness training course:

Table 2: HCM "Ways to Manage Your Workforce for the Future"	
Target audience	<ul style="list-style-type: none"> Managers Supervisors Team leaders
Training duration	1 day (8 hours)
Goal	Increase leaders' buy-in of WAPA's HCM strategic initiatives
Succession planning-focused content	<ul style="list-style-type: none"> Business case for SP and its effects on participants' specific functions Current and future critical competencies Workforce projections for industry and region
Format	<ul style="list-style-type: none"> Classroom-based training with slides and other training materials Interactive problem-solving exercises based on real-life situations

HCM awareness training is delivered by an organization-wide team of six employees (i.e., two administrative officers, three HR managers, and one program manager). Its succession planning-focused material helps leaders understand the importance of succession planning in the context of their daily responsibilities. Therefore, the personalization of succession planning via this training course helps ensure WAPA's leaders' involvement in succession planning.



Identifying Candidates' Interest in Participation

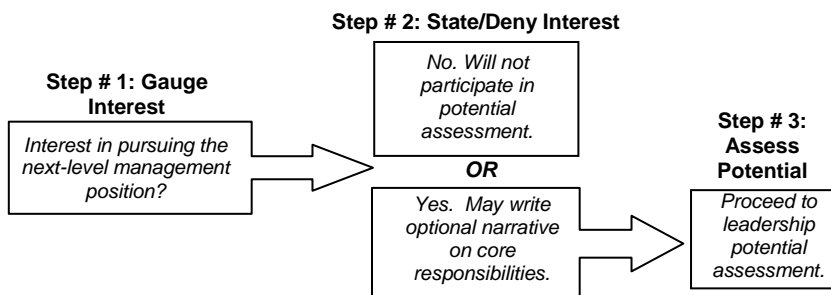
Leadership talent identification is one of the greatest challenges for government organizations, which are striving to implement a transparent, merit-based process to identify individuals with senior leadership potential early in their career.¹⁰

As a first step in candidate selection, all profiled organizations consider an employee's interest in taking on leadership positions of increasing responsibility. The strategies for identifying candidates' interest in leadership development vary as described in the following sections.

MANDATORY INTEREST STATEMENT

The IRS gauges the interest of all current leaders in pursuing leadership positions of increasing responsibility and rank. As part of the agency's succession planning for management positions, all front-line, department-level, or mid-level managers are required to complete an Evaluation of Managerial Potential (EMP) form* during the annual performance appraisal time or the mid-year review:

Figure 6: Future Career Goals' Determination Process

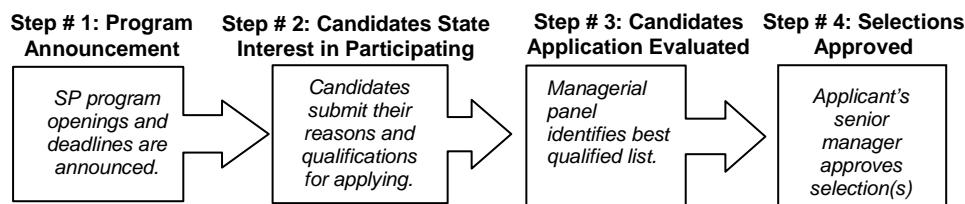


Individuals not interested in being assessed for leadership potential decline and may not be considered for vertical promotions until the next performance review time. Interested individuals state their career goals and proceed to be assessed for leadership potential and readiness.

VOLUNTARY APPLICATION PROCESS

All other profiled organizations – WAPA, SSA, and Agency B – announce upcoming leadership development programs and application deadlines. Interested candidates then submit applications stating their desire and readiness to participate. The application process for developing WAPA's non-supervisory employees (GS 11- GS 14 and equivalent grade levels, e.g., wage board and power dispatch employees) is detailed below:

Figure 7: Emerging Leaders Program (ELP) Participation Application/Selection



By requiring candidates to apply and detail their credentials and reasons for participating in succession planning-focused leadership development programs, organizations secure candidates' commitment in participating.

Selection Process: Managerial panel uses weighted selection criteria to evaluate applicants on an equitable basis.

*A complete copy of the EMP form is located in Appendix A on pg. 18

Application Materials ELP Candidates at WAPA Must Submit

Candidates must submit the following materials to verify their interest in and readiness for the ELP:

- All training received
- Benefits WAPA will reap from candidate's participation in the ELP
- Résumé and target position
- Three career/personal development accomplishments achieved on/outside the job that contribute to candidate's developmental objective
- Up to three leadership awards received within/outside WAPA
- Ways ELP will help candidate attain a target position
- Supervisor's narrative evaluation of applicant's past performance and future leadership potential

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Succession Planning Participant Selection

A 2003 Council research study finds that top-tier leadership organizations emphasize skills, such as the ability to lead and manage people, over candidates' experiences when selecting succession planning participants.¹¹

Once candidates interested in career advancement are identified at profiled companies, talent selection processes vary from open enrollment to multi-step assessment exercises, as shown in the following sections. Open enrollment is normally applied to higher-level succession programs with a smaller candidate pool.



Open Enrollment for SP Candidates

Open enrollment for succession program candidates may be effective at smaller organizations.

Advantages

- Fast, low-cost process
- Highly transparent
- Yields a large talent pool

Disadvantages

- Less qualified talent pool may result
- May yield a larger pool than budget allows

—Ray Blunt

Organizations Growing Leaders: Best Practices and Principles in the Public Service.

(December 2001)

OPEN ENROLLMENT

To keep the process transparent, stifle rumors of favoritism, and allow all interested employees to participate, WAPA and a Canadian government agency maintain an open enrollment policy for higher-level succession planning programs.

Open Enrollment at Higher Levels

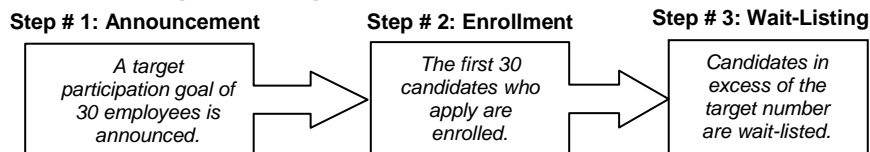
The Management Succession Program (MSP), open to all current team leaders, supervisors, and managers at WAPA, requires that all interested employees apply. All those who apply are then accepted and enrolled. This process constitutes open enrollment for the MSP.

Because of budgetary constraints, however, there are limited available spots for succession planning programs at lower levels below the MSP. Therefore, a competitive enrollment process applies to lower-level programs, such as the Emerging Leaders Program (ELP), described in further detail on page eleven.

Wait-Listing

The corporate-wide leadership development program, aimed at the top three levels of the organization, accepts all applicants. To ensure that the program remains within its budget, one Canadian government agency follows the enrollment process described below:

Figure 8: Budget-Sensitive Open Enrollment



Once the first thirty candidates apply, all interested employees in excess of the first thirty are wait-listed until the next program intake. The agency enrolls thirty candidates three times per year. Therefore, the wait-listed candidates may be enrolled during the next intake if they remain interested in the program.



A Closer Look: Greater Selection Centralization for Top Positions

Each profiled organization differentiates its leadership talent identification and selection processes by employee level.

- **Centralization of High-Level SP**—All profiled organizations have strict organization-wide standards for selecting SP candidates for senior-most positions.
- **Greater Decentralization of Low-Level SP**—Organizations grant business divisions more autonomy in identifying SP candidates for low-level leadership positions.

SUPERVISORS AS SELECTORS

A candidate is required to obtain his or her supervisor's input in the form of a letter of recommendation, a rating of leadership potential, or support of participation in order to enroll in a succession planning-focused leadership development program at all profiled organizations. However, only the IRS tasks the managers at each business unit with the final selection of non-executive succession planning participants.

The Leadership Development team at the IRS provides candidate selection guidelines, such as the EMP form, for each business unit. The candidate's manager rates leadership potential of his or her direct report according to these guidelines. Then, the next level of manager above the candidate's immediate manager approves the application.

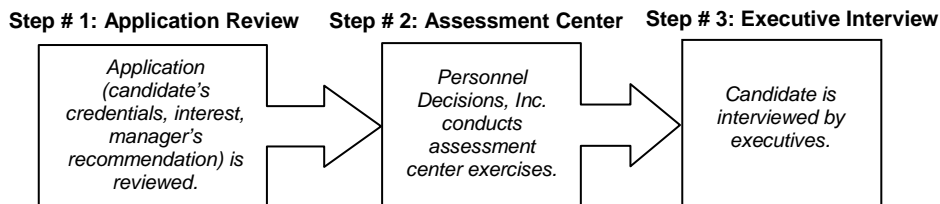


Succession Planning Participant Selection (continued)

LEADERSHIP DEVELOPMENT PROFESSIONALS AS SELECTORS

All employees who apply for Agency B's Advanced Leadership Development (ALD) program undergo the following three-step, candidate selection process, which culminates in selection by leadership development professionals within HR:

Figure 9: Three-Step Selection Process

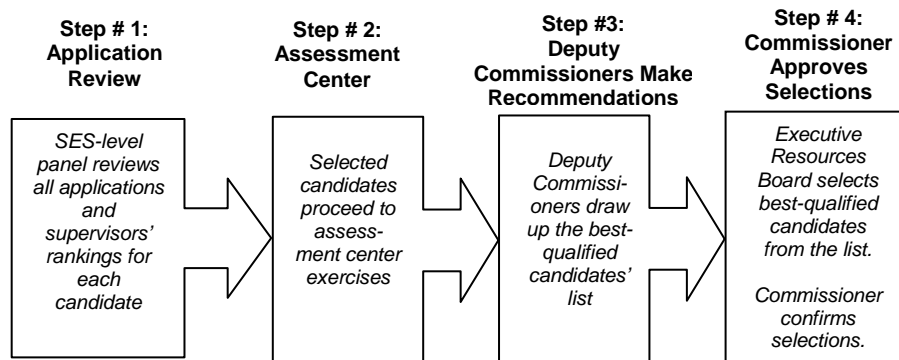


All tenured employees (GS-13 or above) are invited to apply for the ALD. Following the above six-month selection process, Agency B's Leadership Institute Board of Directors makes all final candidate selections.

CROSS-FUNCTIONAL, MULTI-LEVEL EMPLOYEES AS SELECTORS

The selection process at SSA is similar to that of Agency B, but involves several additional steps and the input of various employee groups, as shown below:

Figure 10: Four-Step Selection Process



Feedback on the candidates is collected from multiple sources, described on the left. The SSA rates succession planning candidates' leadership potential on the basis of a candidate's proven record of displaying ECQs, direct supervisor's rating of candidate's potential to exhibit ECQs, and the candidate's performance during assessment exercises. The following groups and individuals provide input in selecting succession planning candidates:

- Applicant
- Supervisor
- SES Employee Panel
- Deputy Commissioners
- Executive Resource Board
- Commissioner

The same process is applied to all succession planning candidates at SSA, but the duration of the required assessment center exercise differs by employee level. Candidates applying for programs aimed at employees of GS-15 level or above undergo a day-long assessment center; GS-13 and GS-14 employees undergo a half-day assessment center; candidates at the G-9 to G-12 employee levels undergo assessment exercises of 1.5 to 2 hours in length.

Assessment Tools at SSA

Candidate assessment process is based on the following assessment tools:

Supervisor Ratings

- Supervisors assign ratings to candidates' leadership abilities.
- The maximum 25-point score is based of the Executive Core Qualifications (ECQs) published by OPM.

Applicant Summary

- Applicants provide a one-page summary addressing each of the ECQs and explaining how they meet each ECQ.
- Examples of how ECQs have been met in activities in or outside of work must be provided.

Senior Executive Service Panel Review

- A panel of SES-level employees reviews all applications and supervisor ratings in three-person groups
- No SES rater can assess the application of a candidate whom he or she knows through work or social situations
- Each group of three raters must agree on one common score for each candidate

Assessment Center

- All candidates undergo rigorous, consultant-developed exercises at an assessment center off-site.
- Four scenarios are created to test the candidates' oral skills, analytical, coalition-building, decision-making, and other abilities

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Leadership Development Programs

Research stresses the importance of providing development experiences for rising leaders early in their career in order to avail them of exposure to the challenges inherent in positions of senior leadership.¹²

OVERVIEW OF PROFILED PROGRAMS

Profiled organizations provide leadership development programs across all employee levels. The table below highlights a sample of these organization-wide programs.

Table 3: Leadership Development Programs			
Organization	Program Title	Target Audience	Duration
Agency B	Advanced Leadership Development	GS-13 and above, with at least 1 yr of service in GS-13 grade	18 mths
	Leadership for Results	Executive supervisors	2 days
	Executive Development	Current executives and senior managers	Varies
IRS	Front-Line Readiness*	HIPO candidates for supervisory roles	12 mths
	Department Manager Readiness	Front-line managers, with at least 1 year of experience in the role	7 mths
	Senior Manager Readiness	Front-line and department managers	12-24 mths
	Executive Readiness	GS-14 and above, planning to apply for the SES Candidate Development Program within 2 yrs	2 yrs
SSA	Leadership Development	G-9 to G-12	18 mths
	Advanced Leadership	G-13 to G-14	18 mths
	SES Candidate Development Program	G-15 and above	18 mths
WAPA	Leadership (currently being developed)	GS-10 and below and equivalent grade levels	6-12 mths
	Emerging Leaders	Non-supervisory employees of GS 11- GS-14 grade level & equivalents	12 mths
	Management Succession	Current team leaders, supervisors, and managers	3 yrs

A Closer Look:

A Variety of Development Tools Used Simultaneously

SP-focused leadership development programs at profiled organizations encompass a variety of development tools, including:

- Classroom-based training
- Individual development plans
- Mentoring and coaching
- Off-site lectures and activities
- Recommended and/or required reading
- Rotational work assignments
- Self- and external assessment

Reading Materials for WAPA's ELP Participants

ELP participants are required to learn WAPA's organizational initiatives through reading such as the following:

Required Reading

(WAPA documents):

- Strategic Plan
- Human Capital Plan
- Human Capital Management Improvement Plan
- Affirmative Employment Plan
- Annual Performance Plan
- Annual Performance Report

Profiled organizations provide leadership programs for employees beginning with non-supervisory staff below the G-9 grade level through experienced senior leaders of grade GS-15 and above. These programs most commonly last approximately one and a half years. Selected leadership development programs are discussed in the following sections.

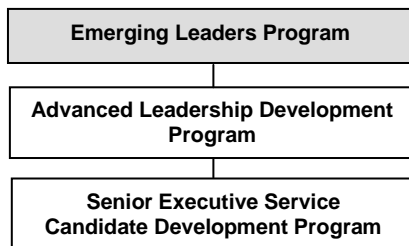
*Additional information regarding the content of IRS' development programs for front-line supervisory positions is located in Appendix B on pg. 20.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Leadership Development Programs (continued)

The following sections describe three leadership development programs, focused on developing non-supervisory, management, and senior management employees respectively for leadership positions of increased responsibilities.

WAPA'S ELP: NON-SUPERVISORY EMPLOYEE DEVELOPMENT



The Emerging Leaders Program (ELP) is a competitive program, aiming at developing GS-11 to GS-14 and equivalent non-supervisory employees (*i.e.*, wage board and power dispatchers) for leadership positions. Slot allocations are determined by a steering committee comprised of administrative officers from each major organization. Allocations are based on target positions identified by applicants and corresponding strategic workforce planning needs. Out of a pool of 933 individuals, 15-20 participants are chosen for the ELP. The program's aim is to broaden the participants' leadership skills and business knowledge, and serve as a foundation for continual learning.



A Closer Look:

Origin and Expectation of Competencies at WAPA

- **Origin**—WAPA's competencies are derived from a need for managers and supervisors to have a working knowledge of WAPA's business and vision, of the utility industry, and of general management and business fundamentals.
- **Expectation**—Participants are not expected to be fully proficient in all competencies during the 12-month program. However, the knowledge gained during the program should broaden the participant's "business knowledge" and leadership skills and serve as a foundation and motivation for continual learning in these areas.
- **Program Competencies**—Participants complete an OPM electronic assessment instrument containing OPM leadership and WAPA-specific competencies twice. The purposes of the assessment are as follows:
 - **Beginning**—To assist in identifying strengths and weaknesses in each competency
 - **End**—To make a final assessment of the skills attained under each competency.
- **Impact**—The results of these assessments also serve as a base-line for WAPA in determining skill gaps and needed training.



Distinguishing Factor: High Educational Variances among Participants

The candidate pool contains individuals with diverse experiences and educational backgrounds. Candidates' backgrounds vary in such ways as the following:

- Advanced degree in one area and work experience in another
- College degree and experience in the field
- High school degree and long experience in the field
- Job-relevant vocational courses and experience in the field

With vast differences in educational backgrounds, all ELP participants have demonstrated leadership potential through work and personal activities, enthusiasm for the organization, drive, and initiative to develop and advance at WAPA.

Developmental Activities

All ELP activities are based on leadership competencies identified by the OPM and WAPA and are directly related to leaders' job duties and industry trends. The ELP developmental activities may include the following:

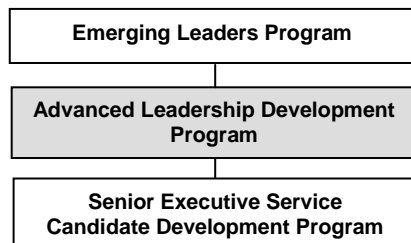
- Attendance at industry- or WAPA-specific presentations
- Attendance at client organizations' meetings to learn their culture, dynamics, and objectives
- Brief work detail to other parts of the organization
- Familiarization with required and recommended reading materials
- Formal core course training
- Off-duty class attendance
- Temporary lateral job changes
- Tours of other hydroelectric/utility industry facilities (*i.e.*, Hoover Dam, California ISO)

Each participant chooses a mentor (*i.e.*, supervisor, higher ranking employee). Then, the participant and his/her mentor develop an Individual Progression Plan (IPP), where the participant identifies developmental objectives, ties them to leadership competencies, and chooses corresponding developmental activities. In addition to continuing to fulfill regular job duties, ELP participants must complete a minimum of 30- to 60-day rotational work detail and the activities identified in the IPP within the 12 month program duration. ELP activities are determined based on the developmental needs identified by the participants' IPPs.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
----------------------------------	-------------------------------------	------------------------	--------------------------------

Leadership Development Programs (continued)

AGENCY B'S ALDP: MANAGEMENT EMPLOYEE DEVELOPMENT



The Advanced Leadership Development Program (ALDP) at Agency B aims to identify and develop current managers of at least GS-13 grade level to fill senior management positions. Out of 750 supervisors, approximately 150 apply and 35 are chosen to participate in this 18-month program.

√ **Distinguishing Factor: Smaller Participant Pool with Each Program Intake**

The ALDP is currently in its third year, so the candidate pool has been depleted by annual selections for a participant group that shrinks with each subsequent program intake. While 53 participants were chosen in 2002 after a rigorous six-month assessment process, only 35 were chosen for 2003.

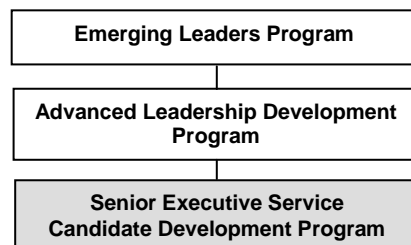
Developmental Activities

All ALDP participants are provided with the following developmental activities across the 18-month period:

- 360-degree reviews
- Classroom-based training
- Executive coaching

These developmental activities are carried out in conjunction with the participants' regular work duties and represent just one development program opportunity in a slew of five planned succession planning-focused programs, three of which will be introduced in 2004.

SSA'S SESCDP: EXECUTIVE DEVELOPMENT



The Senior Executive Service Candidate Development Program (SESCDP) aims at developing senior executive leadership skills for GS-15 level candidates and above. In 2002, the SESCDP enrolled 43 participants out of 130 that applied.

√ **Distinguishing Factor: Relief from Regular Job Duties**

SESCDP participants, as well as participants of other succession planning-focused development programs at the SSA, are temporarily relieved of regular job duties for the duration of the program. Therefore, SESCDP participants are wholly focused on development activities during the 18 months of program duration.

Developmental Activities

The SESCDP is structured around the competencies based on the OPM's Executive Core Qualifications (ECQs). SESCDP participants undergo the following activities, based on the IDPs composed by each of the participants and approved by his or her mentor or supervisor and the SSA's Office of Training.

- Core training sessions: Mandatory quarterly training composed of presentations by experts and interactive exercises, focused on a particular competency
- IDP
- Mentor check-ins
- Rotational development assignments: At least one developmental activity based outside the SSA is mandatory; this may include a job rotation assignment or educational coursework completion

The SESCDP is composed of rotational development assignments, presentations, and core training sessions, which are mandatory for participants. Each SESCDP participant may choose to fulfill the rotational development component by choosing a development activity that targets the participant's development areas most appropriately. This activity must take place outside of SSA and fall within the allotted training budget.



A Closer Look: *External Development Activities for SSA's SESCDP Participants*

Sample external activities chosen by SSA's SESCDP participants in the past include the following:

- **Inter-Agency Development—** Participating in an assignment at another agency (*i.e.*, OPM)
- **Inter-Agency and Academic Development—** Participating in a brief assignment at another agency and completing coursework (*i.e.*, several days to one month in duration) at such institutions as:
 - Federal Executive Institute
 - Harvard University
 - Yale University

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Tracking Program Results

Developing leadership capabilities is an essential step in the succession planning process. It is also vital to evaluate the efficiency of succession planning processes on performance-based measures in order to focus all efforts on the ultimate outcomes of leadership quality and strong organizational performance over time and through multiple transitions in leadership.¹³

While all the profiled organizations strive to improve their metrics capabilities, they already track succession planning program success with quantitative and qualitative measures described in the following sections.

QUANTITATIVE SUCCESSION PLANNING PROGRAM SUCCESS MEASURES

Few profiled organizations developed quantitative succession planning program success metrics. The following table summarizes the most common quantitative success metrics used by two profiled organizations, the IRS and the SSA:

Metric	Organization		Detail and Explanation
	IRS	SSA	
Post-Program Participant Placement Rate	✓	✓	<ul style="list-style-type: none"> In 1998, SSA's SESCDP program had 81 % participant placement in SES positions rate, which exceeds the government-wide rate by approximately 31 %. The 2002 program has not yet been completed, but placement rates are already high.
Program Participation	✓	✓	IRS tracks the number of graduated Executive Readiness participants
Bench-Strength Index	✓		IRS developed a critical competencies-based metric to track non-participant manager performance vs. SP program participants' performance (described in detail below)
Development Spending to Placement	✓		IRS tracks spending for each participant's development vs. placement success
Employee Demand		✓	SSA tracks program openings vs. employee interest in 2002: <ul style="list-style-type: none"> Advertised for 100 LDP positions; received 887 applications. Advertised for 80 ALP positions; received 414 applications Advertised for 36 positions; received 130 applications; increased intake to accept 43

Most of the data-driven metrics gauge succession planning program success by tracking employee interest and participation in a succession planning-driven leadership development program, monetary investment per program participant, and post-program completion participant placement rates in positions of increased leadership responsibility.

Sample Succession Planning Metric: Bench-Strength Index

The IRS developed a bench-strength index by identifying 6 of 21 competencies that differentiate the best IRS leaders from the rest. The index measures how well managers score in the following six critical competencies before and after they attend leadership development programs:

1. Business acumen
2. Technical credibility
3. Influencing/negotiating
4. Group leadership
5. Communication
6. Developing others

All development programs at the IRS focus on strengthening the six critical competencies. Therefore, the bench-strength index shows developmental programs' strengths and weaknesses by displaying a correlation between development programs completed and competency gaps. The index also helps the agency determine the areas, in which managers should be upskilled.



A Closer Look: Sample Participant Placement Rates

The SSA records the following post-program participant placement rates and compares them with government-wide promotion rates where available:

Leadership Development Program

- 2000: 45 of 61 participants promoted
- 2002: 29 of 100 participants promoted within 1 month of program completion

Advanced Leadership Development

- 1998: 26 of 35 promoted
- 2001: 53 of 74 promoted

SES Candidate Development Program

- 1998: 30 of 37 promoted, 4 of unplaced 7 retired
- 2002: 15 of 43 promoted before program completion



A Closer Look: Bench-Strength Index Metrics

The IRS' bench-strength index shows the following:

- 2001 to 2002: 4% bench-strength gain
- 2002-2003: 17% gain

Forecasting based on the above data indicates the IRS can achieve a 7% gain in bench strength for 2004, thereby fulfilling its goal for the year.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Tracking Program Results (continued)

QUALITATIVE SUCCESSION PLANNING PROGRAM SUCCESS MEASURES



Alternative SP Program Success Measures

The majority of SP program measures used by profiled organizations judge the efficacy of SP programs by evaluating the success of established leadership development programs.

“A Council survey of 200 private- and public-sector organizations reveals the following [alternative] metrics for evaluating SP effectiveness:

- Average number of candidates for key positions
- Average number of successors per key positions
- Average number of positions having no successors
- Percentage of managers with replacement plans
- Percentage of key positions filled according to pre-determined succession plans
- Ratio of internal hires to external hires in key positions”

—Corporate Leadership Council
Hallmarks of Leadership Success
[Presentation Materials]
(November 2003)

In contrast with quantitative succession planning program metrics, profiled organizations report a greater use of qualitative success measures. The following table presents a sample of qualitative measures used by profiled organizations:

Table 5: Qualitative Program Success Measures					
Measure	Organization				Detail and Explanation
	Agency B	IRS	SSA	WAPA	
Participants' Feedback	✓	✓	✓	✓	<ul style="list-style-type: none"> • Participants complete Level 1 evaluations after program completion at SSA, IRS, WAPA, and Agency B. • Six to nine months after program completion, IRS conducts Level 3 evaluations.
Participant Assessment		✓	✓	✓	<ul style="list-style-type: none"> • External third-party consultant assesses participants' progress and provides “triangle” feedback sessions for each participant and his/her supervisor at IRS. • WAPA involves participant's mentor and supervisor in 360-assessment of participant's progress.
Mentors' Feedback			✓	✓	<ul style="list-style-type: none"> • Participants' mentors at SSA complete surveys to provide recommendations for program improvements. • Participant's mentor and supervisor at WAPA complete surveys regarding program benefits and recommendations for change
External Expert Analysis			✓	✓	<ul style="list-style-type: none"> • NAPA reviewed SSA's SP-focused development programs, giving them an “excellent” rating. • NAPA also named WAPA's MSP as one of five “exemplary” programs in federal government.
Peer Benchmarking			✓	✓	SSA participates in ASTD's benchmarking forum to compare its SP with other government and public-sector organizations.

Participant's Feedback and Progress

All participants provide feedback during and after program participation to address how the program helped them develop towards more senior positions and what program improvements can be made, for example:

Program duration: WAPA's Management Succession Program (MSP) participants indicate that three years is an excessively long program duration, suggesting that 18 to 24 months is a better program timeframe.

All organizations assess participants' developmental progress, but few evaluate programs' tangible impact on the participants' post-program outcomes.

Program impact: 1) SSA: develop more robust indicators to assess the development program's impact on a participant's approach to leadership after program completion. 2) WAPA: develop a 5-year follow-up assessment process to track performance measures for graduates; including tracking participants' post promotion rates, their efforts and progress in enhancing SP program competencies and the correlating impact on WAPA's strategic and workforce planning initiatives.

Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
-------------------------------	----------------------------------	------------------------	-----------------------------

Improving Program Results

Leading public organizations recognize that a more strategic approach to succession management is essential to transforming their culture in the 21st century. The following section discusses critical success factors to achieving an effective succession planning process and details some strategic succession planning tactics used in the government and private sectors.¹⁴

CRITICAL SUCCESS FACTORS



Characteristics of Top-Tier Leadership Organizations

"The Council's analysis of 276 organizations revealed that top-tier leadership organizations are distinguished from their peers based on the following seven factors:

1. A Senior Executive Commitment to Development
2. Organizational Reinforcement of Development
3. Hiring for Organizational Fit
4. Exacting Performance Standards
5. Full Business Exposure for Rising Executives
6. Selecting Successors for Their Leadership Ability
7. Focus on Scarce Skills and Fit with Position"

—Corporate Leadership Council
Hallmarks of Leadership Success
(November 2003)

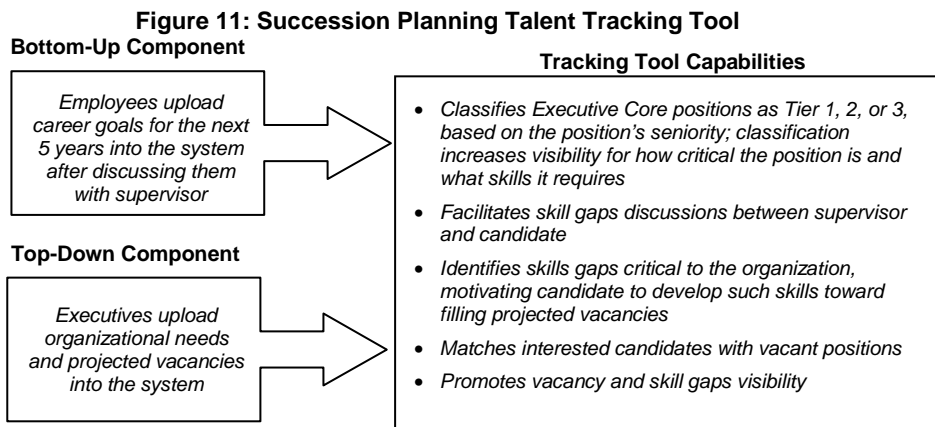
The top success factor identified by interviewed government agencies—organization's leaders' support and commitment—was also stated as the number one success factor for succession planning by 276 private-sector companies in the Council's 2003 study. The following table presents this and other selected factors identified by interviewed individuals as key for effective succession planning at government organizations:

Table 6: Critical Success Factors				
Success Factor	Organization			
	Agency B	IRS	SSA	WAPA
Organization's Leaders' Support and Commitment	✓	✓	✓	✓
Transparent, Merit-Based, and Consistent Selection Process	✓	✓	✓	✓
Alignment of Critical-Skills and Workforce Analysis with Changing Organizational Needs		✓	✓	✓
Clear Communication of Organizational Needs and Development Program Requirements	✓		✓	✓
Competency-Based Leadership Development		✓	✓	✓
Follow-Up With Participants and their Progress Post-Program Completion		✓	✓	✓
Early Identification of Leadership Potential		✓		✓
Ongoing Program Measurement, Review, and Improvement	✓		✓	✓
Provision of Alternative Development Opportunities for Non-Participants of Development Programs			✓	✓
A Robust SP Participant Pool that Does Not Exceed the SP Budget				✓

The two most-commonly cited program success factors, obtaining leaders' support for succession planning and maintaining a consistent, merit-based selection process, are discussed in the first two sections of this report. The third success factor—aligning workforce analysis and changing organizational needs—is also a challenge to achieve. The following section discusses how public- and private-sector organizations address this challenge.

Aligning Changing Organizational Needs and Succession Planning

The IRS implemented the following technology-driven solution to overcome this challenge:



Succession Planning Structure	Leadership Talent Identification	Leadership Development	Succession Planning Results
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Improving Program Results (continued)

CRITICAL SUCCESS FACTORS (CONTINUED)

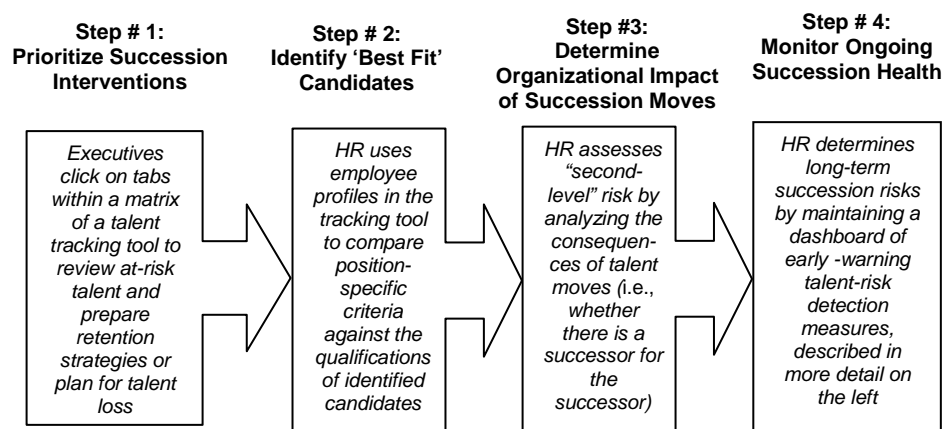
Aligning Changing Organizational Needs and Succession Planning (continued)

The IRS places the highest priority on monitoring the most senior roles in the Executive Core (i.e. Tier 1 and Tier 2 positions). It uses the talent tracking tool to create high visibility for critical skill gaps and projected vacancies, and to facilitate the supervisor-candidate discussion of career plans and development opportunities. This process creates greater alignment between employees' career goals and changing organizational needs.

Case Example: Comprehensive Succession Planning at Duke Energy

A private-sector company, Duke Energy, also focuses on aligning its succession management efforts with organizational goals by focusing on critical skill gaps and projected vacancies for senior positions, and by using a talent tracking tool to increase the visibility of organizational needs and talent supply across the company. The following figure describes Duke Energy's process in greater detail:¹⁵

Figure 12: Needs-Based Succession Planning Process



Duke Energy allows HR professionals and company executives to collaborate and strategically plan for talent succession by using the automated talent tracking tool. This tool is used in the process described above to align succession planning and organizational needs by addressing the following issues:

- **Vacancy risk:** Prioritizing specific succession interventions, based on the risk to the organization of executive vacancy.
- **Bench strength and talent "fit":** Promoting rigorous discussion of the talent bench's ability to meet leadership requirements through analyzing executive "fit" with positions.
- **Long-term succession needs:** Understanding the impact of moving leadership talent through the business and how the leadership bench is positioned to meet future business needs.

Both the IRS and Duke Energy strive to achieve the goal of organizational alignment and preparedness by using technology as a tool for cross-functional and cross-organizational cooperation.



A Closer Look: Succession Planning Based on Organizational Priorities

Duke Energy addresses both its immediate and long-term organizational needs by focusing on the following questions in the course of succession planning:

1. What are the departure risks we need to act on now?

2. Do we have candidates qualified to assume key positions?

Sample position-fit criteria include:

- Competencies
- Major accomplishments
- Performance
- Work experience

3. What is the best way to move talent in the event of succession?

Sample successor-move analysis criteria include:

- Availability
- Position fit score
- Successor ratio

4. What are the ongoing talent risks to the organization?

Sample talent-risk metrics include:

- Bench strength analyses
- Manager age distribution
- Successor ratios for key positions
- Successor readiness reports

THE RESEARCH PROCESS IN BRIEF

Research Methodology

The Corporate Leadership Council conducted a comprehensive search of published materials regarding succession planning in the government sector, drawn from previous Corporate Executive Board research, trade press journals, other research organizations and the Internet. Council staff then interviewed human resources professionals at four U.S. government and one Canadian government organizations. This report represents the findings from these secondary and primary sources.

Project Aims

Succession Planning Structure

1. Who leads the succession planning initiative at your organization?
2. How is management involved in succession planning?
3. Is management held accountable for succession planning? If so, how?

Leadership Talent Identification

4. How are potential leaders identified? Is there a formal identification process?
5. How and at what level are employees assessed for leadership potential?

Leadership Development

6. What is the average number of potential leaders chosen or identified each year?
7. Are any development activities mandatory for identified employees?

Succession Planning Results

8. What kinds of feedback or measures indicate how effective current succession planning practices are?
9. In your opinion, what are the top five success factors and top five lessons learned from succession planning development and implementation?
10. How do you manage employee expectation and changing organizational needs over time?

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APPENDIX I: EVALUATION OF MANAGERIAL POTENTIAL (EMP) FORM

Evaluation of Managerial Potential (EMP) Instructions

The Evaluation of Managerial Potential (EMP) form must be completed for any front-line or department/mid-level manager, management official, or employee aspiring to the next managerial level or initial managerial position. The form must be included as part of the employee's application for any managerial position. For a senior manager or executive, the EMP form will be completed on an ad hoc basis and in accordance with instructions specified on the appropriate vacancy/program announcement. The EMP form will be used for ranking core responsibilities for positions at a higher managerial level than the employee's current position. Employees applying for positions at the same managerial level as their current position and who have been rated at least fully successful in that position will be considered "Ready Now" for ranking purposes in competitive actions. Therefore, submission of an EMP form is not required in this circumstance.

The employee's manager and next level approving official must complete the EMP form. The assigned potential ratings are valid until the next annual appraisal is completed. If an evaluation is received during mid-year review, it will be valid only until the next annual appraisal. The EMP form will be completed under the following conditions:

For a front-line or department/mid-level manager, managers must complete the EMP form at the end of their rating period or at mid year. All other employees, i.e., management officials or employees desiring consideration for managerial positions may have the form completed on an ad hoc basis at any time. The form should be used to discuss and evaluate the employee's potential for advancement to the next managerial level or initial managerial position based on the core responsibilities. An additional EMP form must be completed for any front-line or department manager or management official, who may be interested in managerial positions that are two or more managerial levels above their current position.

Items #1-4: Enter the specific employee identification information.

Part I - Position Level and Appraisal Information

Item #5 - Position of Record: Enter employee's current managerial level as identified in the position description of their permanent position of record. If an employee has been on a temporary promotion to a supervisory position for a full year contact your servicing personnel office for guidance.

Item #6 - Appraisal Information: Enter current summary rating as reflected on latest annual performance appraisal (current summary rating of record).

Part II - Core Responsibilities - Potential for Advancement:

Item #7 - Target Managerial Level: Enter the managerial level for which the potential rating is based.

Item #8 - Ratings should reflect potential for the next managerial level rather than actual performance; past as well as current experience should be considered. Employees have the option of providing a two-page narrative addressing the core responsibilities. This narrative should be used by the rater and approving official in determining the employee's managerial potential rating. The employee's manager and approving official should consider all relevant experience and demonstrated performance in assessing the employee's potential for the next managerial level. A "Ready Now" evaluation should be based on an either Outstanding current summary rating and/or demonstrated outstanding potential just as a "Ready in 1-2 years" evaluation should be based on an either Exceeded or above current summary rating and/or demonstrated above average potential. For definitions and guidance on assignment of potential ratings for each managerial level, see Guide for Completion of Part II of the Evaluation of Managerial Potential Form which can be found at the Management Selection Program Web Site. Approved potential ratings should be discussed and shared with the employee.

Employee narratives should be used for discussion purposes only, removed after approval of the potential ratings and placed in the Employee Performance File (EPF) to support the ratings assigned. The EMP form should be used in conjunction with an Individual Development Plan (IDP)/Leadership Action Plan (LAP) and should include documentation of any developmental recommendations discussed during the potential rating assessment.

Note: A narrative not to exceed one page is required to support a potential evaluation of "Ready Now" for all four (4) core responsibilities for employees with a current summary rating below "Outstanding." However, a current summary rating of either "Outstanding" or "Exceeded" does not guarantee a "Ready Now" potential evaluation. Narrative must accompany this form as an attachment. No narrative is required to support a potential evaluation of "Ready Now" for all four (4) core responsibilities for employees with a current summary rating of "Outstanding."

Part III - Item #9 - Statement of Declination: Employees may choose not to participate in the evaluation of managerial potential assessment process. Managers must inform their employees of their option not to participate but that by so choosing, they understand their next opportunity to participate may not be earlier than their next performance appraisal at either mid-year or the end of year rating. EMP forms may be completed on an ad hoc basis if a managerial position is announced indicating that applications will be accepted from candidates without current EMP forms. **A declination statement is only required by current managers choosing not to participate in the evaluation process.**

Approvals:

Rating Official: The employee's immediate manager.

Approving Official: The next level of manager above the employee's immediate manager.

Employee's Signature and date: This form must be discussed with the employee. The employee must also be provided a copy of the form.

Privacy Act Statement

We are requesting this information under authority of 5 USC 301, and we are requesting your social security number under the authority of executive order 9397. The primary purpose of requesting this information is to evaluate your managerial potential. This information may be disclosed to the Office of Personnel Management for the purpose of properly administering Federal Personnel systems or other agencies' systems in accordance with applicable laws, Executive Orders, and applicable regulations. Providing this information is voluntary. However, not providing all or part the information requested may affect processing of this form.

APPENDIX I: EVALUATION OF MANAGERIAL POTENTIAL (EMP) FORM (CONTINUED)

Evaluation Of Managerial Potential		<input type="checkbox"/> Annual <input type="checkbox"/> Mid-Year <input type="checkbox"/> Ad Hoc (<i>Outside Appraisal Process</i>)	
1. Name	2. SSN	3. Current Position - Title, Series, Grade	4. Division/Phone Number
Part I: Current Position Level and Appraisal Information			
5. <input type="checkbox"/> Employee <input type="checkbox"/> Management Official		<input type="checkbox"/> Front-Line Manager <input type="checkbox"/> Mid-Level or Department Manager	
		<input type="checkbox"/> (For ad hoc use only) Senior Manager <input type="checkbox"/> Executive	
6. Current Summary Rating <input type="checkbox"/> Outstanding <input type="checkbox"/> Exceeded/Exceeds Fully Successful <input type="checkbox"/> Met/Fully Successful <input type="checkbox"/> Minimally Successful <input type="checkbox"/> Not Met/Unacceptable			
Part II: Core Responsibilities - Potential for Advancement			
<small>Ratings should reflect potential for the next managerial level rather than actual performance; past as well as current experience should be considered. A "Ready Now" evaluation should be based on either an Outstanding current summary rating or demonstrated outstanding potential just as a "Ready in 1-2 years" evaluation should be based on either an Exceeded or above current summary rating or demonstrated above average potential. However, a supervisory narrative, not to exceed one page is required to support a potential evaluation of "Ready Now" for all four (4) core responsibilities for employees with a current summary rating below "Outstanding." A current summary rating of either "Outstanding" or "Exceeded" does not guarantee a "Ready Now" potential evaluation. Developmental recommendations should be annotated on Individual Development Plan (IDP)/ Leadership Action Plan (LAP).</small>			
7. Target Managerial Level <input type="checkbox"/> Front-Line Manager <input type="checkbox"/> Department Manager <input type="checkbox"/> Senior Manager			
8. Responsibilities			
		Ready Now	Ready in 1 - 2 years
		Ready in 3 - 5 years	
Leadership - Demonstrates integrity, sound judgment and the highest ethical standards of public service. Successfully leads organizational change, effectively communicating the Service's mission, core values, and strategic goals to employees and other critical stakeholders and engaging them in the development of objectives that contribute to those goals. Motivates employees to achieve high performance by facilitating a positive workplace that fosters diversity, innovation, and initiative, open and honest communication, and teamwork among employees and peers.		<input type="checkbox"/>	<input type="checkbox"/>
Customer Satisfaction - Demonstrates the importance of customer focus as a critical component of the Service's mission. Listens to customers constantly gathering their feedback, actively seeking to identify their needs and expectations, and effectively communicating those needs and expectations to employees. Ensures that employees do the same, and that they are prompt, professional, fair, and responsive to the circumstances of individual customers, to the extent permitted by law and regulation. Continuously evaluates organizational performance from a customer's point of view.		<input type="checkbox"/>	<input type="checkbox"/>
Employee Satisfaction - Demonstrates the importance of employee satisfaction in successfully accomplishing the Service's mission. Promotes cooperation, flexibility, and teamwork among employees. Ensures that, to the extent possible, employees have the tools and training to do their jobs. Provides continuous, constructive feedback to employees concerning individual and group performance including timely evaluations of performance. Coaches and develops employees so that they realize their full potential as members of the Service. Supports labor-management partnership, responding to employee concerns promptly, identifying trends and taking corrective action to maintain a safe, high-quality work environment in which everyone is treated with respect.		<input type="checkbox"/>	<input type="checkbox"/>
Business Results - Effectively develops and executes plans to accomplish strategic goals and organizational objectives, setting clear priorities and acquiring, organizing, and leveraging available resources (human, financial, etc.) to efficiently produce high-quality results. Constantly reviews and analyzes performance measures, consults and collaborates with stakeholders, and takes decisive action, in accordance with law, regulation, and Service policy. Continuously seeks to improve business processes, sharing those efforts with other units to better overall Service performance.		<input type="checkbox"/>	<input type="checkbox"/>
Part III: Statement of Declination (Only Required by current manager choosing not to participate)			
9. I decline participation in the managerial assessment process at this time. I acknowledge this may impact my ability to be considered for future promotion opportunities. I further acknowledge that my next opportunity for participation in this process may occur no earlier than during my next performance appraisal at either mid-year or the end of year rating.			
Employee's Signature			Date
Approvals			
Rating Official's Signature			Date
Approving Officer's Signature			Date
Employee's Signature (<i>This evaluation has been discussed with me and I have been given a copy.</i>)			Date

APPENDIX II: IRS' READINESS PROGRAMS CURRICULUM BY EMPLOYEE LEVEL

Overview of Leadership Curriculum by Level

Core Courses

At each Leadership level, there are Core courses for all managers given their stage of development: Stage 1: 0-3 years on the job, Stage 2: 3+ years on the job.

Stage 1 courses are mandatory. Stage 2 courses are strongly recommended. A course summary and more detailed information on each course follows.

LEVEL COURSE TITLE

FRONT LINE

STAGE 1: ENTRY AND GROWTH Front-line Leader Readiness

Administrative Procedures for Managers

(APM– Classroom and website version)

Front-line Manager Course (FKA Core Leadership for
Front-line Managers)

Temporary Manager Transition Workshop
(Campus Mgrs.)

Management Aspects of EEO – (CD ROM)

Employee/Labor Relations – (classroom)

Employee/Labor Relations - (Web and classroom)

STAGE 2: MASTERY AND ADVANCEMENT Leading Teams

Senior Manager Readiness Program (Campus)

Senior Manager Readiness Program (Field)

DEPARTMENT/SENIOR

STAGE 1: ENTRY AND GROWTH Department Manager Course: Leading Leaders

Senior Manager Course

STAGE 2: MASTERY AND ADVANCEMENT Leading Change Seminar

EXECUTIVE

STAGE 1: ENTRY AND GROWTH Candidate Development Program

Executive Development Program

STAGE 2: MASTERY Executive CPE

APPENDIX II: IRS' FRONT-LINE LEADER READINESS PROGRAM CURRICULUM (CONTINUED)

Front-line Leader Curriculum

Administrative Procedures for Managers (APM)

APM is a web-based resource containing a comprehensive, searchable listing of IRS administrative procedures. It provides an overview of IRS procedures and instructs new managers where and how to find the guidance they need to do their jobs. The course familiarizes managers with IRS resources and how to use the APM web site as a portal for guidance on key issues that arise in the workplace. Managers may learn in the classroom how to navigate the site, or at their own pace using the web by stepping through scenarios highlighting key managerial challenges. The class is sixteen hours, and the self-paced web course takes up to two hours to complete.

Competencies:

- Business Acumen • Technical Credibility • Adaptability
- Continual Learning • Political Savvy • Problem Solving

Recommended Completion Timeframe

- Within the first two months on the job
- Pre-requisite for Front-line Manager Course

New and experienced managers will benefit from this program. Since Intranet resources, offices, and expertise change, a portal that changes with them is a short and long-term resource.

Employee/Labor Relations (ER/LR) for Managers

Employee/Labor Relations for Managers is available as either a three-day classroom course or website/classroom combined lasting 10-12 hours. Both versions provide managers with the tools and techniques to effectively deal with employee/labor relations issues addressed in IRS negotiated agreements and labor relations laws. Through the use of pre- and post-assessments, pop quizzes, and scenario exercises, the new manager learns the contents of the National Agreement, additional governing policies, and the process of conflict resolution.

Competencies:

- Influencing/Negotiating
- Partnering
- Problem Solving
- Developing Others
- Business Acumen

Recommended Completion Timeframe

- Within first 4 months on the job
- Prerequisite for Front-line Manager Course

The immediate benefit is that managers gain a clearer understanding of the critical issues in the National Agreement impacting the management/labor relationship. Managers will be able to effectively provide feedback on employee performance.

Management Aspects of EEO

This course for all new managers is currently CD-ROM based. It provides managers with basic information relating to Equal Employment Opportunity including Title VII rights and responsibilities, personnel practices, disabilities, discrimination, complaint processing, and preventing sexual harassment. It takes approximately 2 1/2 to 3 hours to complete. The course material is currently available from the Central Area Distribution Center (CADC). The new Common Operating Environment (COE) for Service computers does not allow loading of software without local IS assistance. Managers need to contact their local IS representatives or request a work ticket from the IS Help Desk for assistance in loading the software.

Competencies:

- Diversity Awareness
- Integrity-Honesty
- Problem Solving

APPENDIX II: IRS' FRONT-LINE LEADER READINESS PROGRAM CURRICULUM (CONTINUED)

Front-line Leader Curriculum (continued)

Front-line Manager Course (FKA Core Leadership for Front-line Managers)

The Front-line Manager Course is a two-week, experiential workshop on team development, group leadership, communication skills, and self-awareness.

Competencies:

- Communication
- Teamwork
- Adaptability
- Problem Solving
- Partnering
- Technical Credibility

Recommended Completion Timeframe

- Within twenty four months of selection to a front-line position
- Pre-requisites: APM and ER/LR

Leading Teams

Leading Teams is the Core course in the Leadership Curriculum designed to meet the developmental needs of experienced (three years or more on the job) Front-line managers. The course includes lessons on facilitation, coaching, counseling, employee development and communication. Emphasis is placed on modeling the behavior required for success in leading a team.

Competencies:

- Partnering • Teamwork • Adaptability
- Problem Solving • Technical Credibility • Communication

Recommended Completion Timeframe

- From thirty six to forty eight months on the job

WAS THIS BRIEF USEFUL?

The Corporate Leadership Council welcomes feedback as a vital part of our continuous improvement. If you would like to comment on the quality of this brief—in general, or specifically regarding usefulness—please e-mail CLCshortanswer@executiveboard.com.

Professional Services Note

The Corporate Leadership Council has worked to ensure the accuracy of the information it provides to its members. This project relies upon data obtained from many sources, however, and the Council cannot guarantee the accuracy of the information or its analysis in all cases. Further, the Council is not engaged in rendering legal, accounting or other professional services. Its projects should not be construed as professional advice on any particular set of facts or circumstances. Members requiring such services are advised to consult an appropriate professional. Neither Corporate Executive Board nor its programs is responsible for any claims or losses that may arise from any errors or omissions in their reports, whether caused by Corporate Executive Board or its sources.

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⁶ National Academy of Public Administration, "Strengthening Senior Leadership in the U.S. Government," *National Academy of Public Administration* (December 2002). (Obtained through <http://www.napawash.org>). [Accessed 13 November 2003].

⁷ General Accounting Office, "Succession Planning and Management Is Critical Driver of Organizational Transformation."

⁸ Corporate Leadership Council, *Hallmarks of Leadership Success*, Washington: Corporate Executive Board (November 2003).

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¹¹ Corporate Leadership Council, *Hallmarks of Leadership Success*.

¹² Corporate Leadership Council, *Hallmarks of Leadership Success*.

¹³ Corporate Leadership Council, *Hallmarks of Leadership Success* (Presentation Materials), Washington: Corporate Executive Board (November 2003).

¹⁴ General Accounting Office, "Succession Planning and Management Is Critical Driver of Organizational Transformation."

¹⁵ Corporate Leadership Council, *Hallmarks of Leadership Success*.